

FORM PTO-1390  
(REV. 12-2001)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

4878/PCT

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371U.S. APPLICATION NO. (If known, see 37 CFR 1.5  
10/535741

INTERNATIONAL APPLICATION NO.

PCT/JP2004/008090

INTERNATIONAL FILING DATE

03 June 2004 (03.06.2004)

PRIORITY DATE CLAIMED

16 June 2003 (16.06.2003)

TITLE OF INVENTION Method of Processing Surface of Nitride Semiconductor Crystal  
and Nitride Semiconductor Crystal Obtained with the Method

APPLICANT(S) FOR DO/EO/US

Seiji NAKAHATA, Ryu HIROTA, Keiji ISHIBASHI, Takatomo SASAKI, Yusuke MORI

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). The Translation
  - a. ☒ is attached hereto, along with a Translator's Declaration. is accurate.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98, Form PTO-1449, copy of Int. Search Report, 1 reference, 1 English Abstract, 1 partial English translation.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☒ Other items or information:
  - a. return receipt postcard;
  - b. Form PTO-2038 to cover the filing fee & fee for Assignment Recordal;
  - c. 3 Figs. on 1 sheet formal drawings.

NOTE: The priority of Japanese Patent Application 2003-170584 filed in Japan on June 16, 2003 is claimed for the present Application under 35 U.S.C. §119.

NOTE: The entire disclosure of PCT International Application PCT/JP2004/008090 is incorporated herein by reference.

NOTE: This Application has been assigned to: 1) Sumitomo Electric Industries, Ltd., of: 5-33, Kitahama 4-chome, Chuo-ku, Osaka-shi, Osaka 541-0041 Japan; and 2) Yusuke MORI, of: 8-16-9, Kisaichi, Katano-shi, Osaka 576-0033 Japan. The Assignment is being submitted herewith for recordal.

NOTE: Please print the Assignee data with the Published Application.

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21. ☒ The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.

National Phase filing fee (\$300), Search fee (\$400).

Examination fee (\$200).....=\$ 900.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33(1)-(4) .....

**ENTER APPROPRIATE BASIC FEE AMOUNT = 900.00**

**Surcharge of \$130.00 for furnishing the oath or declaration later than** ☐ 20 ☐ 30  
**months from the earliest claimed priority date (37 CFR 1.492(e)).**

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	12 - 20 =	0	x <del>\$18.00</del>
Independent claims	3 - 3 =	0	x <del>\$84.00</del>
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ <del>\$280.00</del>

**TOTAL OF ABOVE CALCULATIONS =**

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.

**SUBTOTAL =**

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)).

**TOTAL NATIONAL FEE =**

**Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +**

**TOTAL FEES ENCLOSED =**

Amount to be refunded:	\$
charged:	\$

- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby any deficiency in or authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-0507. ~~A duplicate copy of this sheet is enclosed.~~
- d. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.**

**The Power of Attorney and the Correspondence  
Address for this Application are to  
CUSTOMER NO.: 021553.**

**SIGNATURE**

Walter F. Fasse - 5/18/05  
NAME

**36132**

**REGISTRATION NUMBER**

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MAY 18 2005